

EXHIBIT 4

To

EXHIBIT D

TRUST 3000 SYSTEM

ESBB - SINGLE BOND BUY

12/02/02 16:45:58

SCREEN 1 OF 3

ORIGINATOR: 200 ORIG TYPE: AD AUTH INITIALS: MEMO: N
 : GREGG L LANDIS FUNDS AVAIL: 12/2/02
 GOOD THRU: OPEN
 ASSET ID: NON-SPECIFIC : NON-SPECIFIC BOND
 ASSET CLASS: 16 : U.S. TREASURY BILLS

PAP VALUE: 800,000.

ESTIMATED VALUE: 800,000.00

ORIG FACE:

DENOMINATIONS:

P# 1

LOCATION:

REGISTRATION:

DIRECTED: N

BROKER:

DISCRETION: M

(M) MUST USE (U) USE IF THINGS EQUAL

REQUESTOR:

REQUEST DATE: 12/2/02

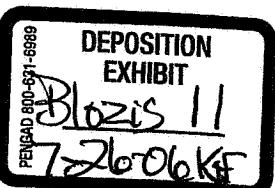
(L) LETTER (T) TELEPHONE (O) OTHER

REQUEST FORM: O

ORDER NUMBER 303201 ADDED AT 16:45:58 ON 12/2/02 - WAUT

F1-HELP F2-HINT F3-CANCEL F5-TOP F6-BOT F7-BACK F8-FWD F10-BACKHALF

Should be \$400,000, per attached.
 BB



Becker William S

From: Blozis Linda J
Sent: Monday, December 09, 2002 9:49 AM
To: Becker William S
Subject: FW: NOTIFICATION OF ACCOUNT OVERDRAFT FOR 108407MY134

FYI. This is the first I've seen the notification, or I would have addressed it on the 5th.

Re-checking the investment directions:

1. Sweep was changed to MMDANR
2. all Lg Cap sold +\$345,684
3. \$55K sold of Mid cap
4. \$65K Sm cap bought
5. \$75K Int'l bought
6. \$50K Emerging Mkts bought
7. \$650K of Model bought *

There was only \$67K in cash, hence an over-buy of the model. I'll need to report as over investment by manager. Fredric says this notice will be sent again today since it wasn't answered last week. Pls confirm if you want to sell out of model to cover.

—Original Message—

From: Levine Fredric I
Sent: Monday, December 09, 2002 8:51 AM
To: Blozis Linda J
Subject: FW: NOTIFICATION OF ACCOUNT OVERDRAFT FOR 108407MY134

Sorry I didn't see the out of office message until this morning.

—Original Message—

From: Overdraft
Sent: Friday, December 06, 2002 8:48 AM
To: Becker William S
Subject: NOTIFICATION OF ACCOUNT OVERDRAFT FOR 108407MY134

You are receiving this notification because one of your accounts had an Overdraft greater than \$250,000 at the end of the previous business day. You have been asked to address this overdraft on the attached memo.

Instructions:

1. Open the attached MS Word Document.
2. Select one (1) box in Section 1.

Note: If you selected the second box, you must move to Section 2 & Select an appropriate response.

4. Please add appropriate information if you select an option that prompts you (i.e. Account #).
5. Save the MS Word Document you are working in.
6. Click back to the original email you received, Go File => Save (this saves your changes).
7. Forward the original email with your changes back to 'OVERDRAFT'.

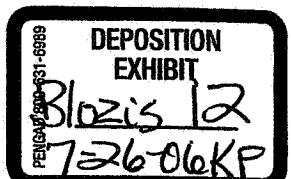
Note: Please make sure your changes have been included BEFORE you hit send.



Account Overdraft ver 070302.d...

Attention to detail!
 Written instructions
 were not followed.
 Linda added 650K to
 a model; the A/c
 wasn't in a model.
 Order was to have 650K
 in model; 300K from
 existing stock reallocation
 O/D \$300K

No double-checking;
 pending would have
 picked this up. DB



Becker William S

From: Becker William S
Sent: Monday, December 09, 2002 8:48 AM
To: Blozis Linda J
Subject: FW: NOTIFICATION OF ACCOUNT OVERDRAFT FOR 108407MY134

Please take care of this asap, and report back to me why this happened.

—Original Message—

From: Overdraft
Sent: Friday, December 06, 2002 8:48 AM
To: Becker William S
Subject: NOTIFICATION OF ACCOUNT OVERDRAFT FOR 108407MY134

You are receiving this notification because one of your accounts had an Overdraft greater than \$250,000 at the end of the previous business day. You have been asked to address this overdraft on the attached memo.

Instructions:

1. Open the attached MS Word Document.
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Note: If you selected the second box, you must move to Section 2 & Select an appropriate response.
4. Please add appropriate information if you select an option that prompts you (i.e. Account #).
5. Save the MS Word Document you are working in.
6. Click back to the original email you received, Go File => Save (this saves your changes).
7. Forward the original email with your changes back to 'OVERDRAFT'.

Note: Please make sure your changes have been included BEFORE you hit send.



Account Overdraft ver 070302.d...

EXHIBIT 5

To

EXHIBIT D

*Client/Trust Name: [REDACTED]

Account Number: [REDACTED]

ASSET ALLOCATION RISK PROFILE QUESTIONNAIRE

1. High Capital Growth. The client seeks a higher than average return that will protect the portfolio and the client is willing to accept greater investment risk to do Score inconsistent with Allocation. 21

2. Low Income. Client wants to earn a high level of spendable income on the investment. 21

3. Low Maximum Income. Investment time horizon that is greater than 20 years. 21

4. Tolerant of short-term declines. The client is willing to tolerate a moderate decline in the value of the portfolio over the short-term to achieve higher returns over the long-term. 21

5. Minimal Need for Liquidity. The client has available sufficient other assets, or the nature of the trust is irrevocable, that conversion of a substantial portion of the portfolio to cash can be avoided. 21

6. Low Principal Stability. The client is comfortable with short-term swings in the investments in order to achieve a higher return than could be expected from a more stable asset mix. 21

Range of Responses: 1-5

1 = Strongly Disagree; 5 = Strongly Agree

TOTAL: ~~12~~ b.Date of Previous Review: 12-30-01
Previous Score: 12**Asset Allocation Targets**

Balanced Portfolio Objectives	Risk Questionnaire Score	Target Stock % (+/- 10%)
Aggressive Growth	28-30	80
Growth	24-27	70
Moderate Growth	18-23	60
Balanced Growth & Income	14-17	50
Income	10-13	40
Aggressive Income	6-9	30
Specified Portfolio		
All Equity		100
All Fixed Income		0

Current Asset AllocationTotal Market Value: \$ 5,430,821. -Equities: 97.5% Fixed Income: 2.5% Cash: 2.5% Other: _____

* Large Cap: _____

* Mid Cap: _____

* Small Cap: _____

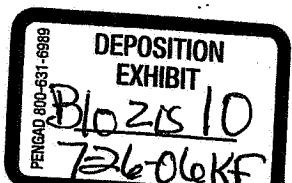
* International: _____

* Emerging Mkts: _____ * % of Equity

Questionnaire completed by: BRI Date: 12/2/02

Team Leader/Reg 9 Signer: _____ Date: _____

*Client Name = beneficiary (irrevocable), donor (revocable), owner of assets held (IMA, IRA) on individual or multiple accounts. Please note all applicable account numbers.



*Client/Trust Name: ██████████ TA 4/0Account Number: 1083████████ASSET ALLOCATION RISK PROFILE QUESTIONNAIRE

1. High Capital Growth. The client seeks a higher than average return that will protect the portfolio against erosion of inflation and the client is willing to take investment risk to do so. Change to 5
2. Low Current Income. It is not important to earn a current income from investments. 4.5; total 3
3. Long Time Horizon. The client has an investment horizon of more than 20 years. 24 5
recode to 5
4. Tolerant of Short-Term Declines. The client is willing to accept a decline in the value of the portfolio over the short-term to achieve a long-term growth. 17 -> growth 5
5. Minimal Need for Liquidity. The client has available sufficient other assets, or the nature of the trust is irrevocable, that conversion of a substantial portion of the portfolio to cash can be avoided. 5
6. Low Principal Stability. The client is comfortable with short-term swings in the investments in order to achieve a higher return than could be expected from a more stable asset mix. 4

TOTAL: 27

Range of Responses: 1 - 5

1 = Strongly Disagree; 5 = Strongly Agree

Date of Previous Review 11-10-01Previous Score 27Asset Allocation Targets

<u>Balanced Portfolio Objectives</u>	<u>Risk Questionnaire Score</u>	<u>Target Stock % (+/- 10%)</u>
Aggressive Growth	28-30	80
Growth	24-27	70
Moderate Growth	18-23	60
Balanced Growth & Income	14-17	50
Income	10-13	40
Aggressive Income	6 - 9	30
<u>Specified Portfolio</u>		
All Equity		100
All Fixed Income		0

Current Asset AllocationTotal Market Value: \$ 140,201. -

Equities: 76.0% Fixed Income: 23.0% Cash: 1.0% Other: _____

* Large Cap: 69.0%
 * Mid Cap: 11.7%
 * Small Cap: 11.3%
 * International: 8.0%
 * Emerging Mkts: _____

* % of Equity ██████████

Questionnaire completed by: B&FDate: 12/2/02

Team Leader/Reg 9 Signer: _____

Date: _____

*Client Name = beneficiary (irrevocable), donor (revocable), owner of assets held (IMA, IRA) on individual or multiple accounts. Please note all applicable account numbers.

*Client/Trust Name: ██████████ TA 4/10Account Number: 108██████████ASSET ALLOCATION RISK PROFILE QUESTIONNAIRE

1. High Capital Growth. The client seeks a higher than average return that will protect the portfolio against erosion of inflation and the client is willing to do so. 5

2. Low Current Income. It is not important to earn investments. 5

3. Long Time Horizon. The client has an investment (Over 20 years = "5"; three or less years = "1") 24 ^{Change to 5: total} 5 ^{record to 7: growth} 5 ^{than 20 years.}

4. Tolerant of Short-Term Declines. The client is willing to sacrifice the value of the portfolio over the short-term to achieve 5 ^{lecline in the short-term.}

5. Minimal Need for Liquidity. The client has available 5 ^{other assets, or the nature of the trust is irrevocable, that conversion of a substantial portion of the portfolio to cash can be avoided.}

6. Low Principal Stability. The client is comfortable with short-term swings in the investments in order to achieve a higher return than could be expected from a more stable asset mix. 5

TOTAL: 30

Range of Responses: 1 - 5

1 = Strongly Disagree; 5 = Strongly Agree

Date of Previous Review 11-10-01
Previous Score 30**Asset Allocation Targets**

<u>Balanced Portfolio Objectives</u>	<u>Risk Questionnaire Score</u>	<u>Target Stock % (+/- 10%)</u>
Aggressive Growth	28-30	80
Growth	24-27	70
Moderate Growth	18-23	60
Balanced Growth & Income	14-17	50
Income	10-13	40
Aggressive Income	6 - 9	30
<u>Specified Portfolio</u>		
All Equity		100
All Fixed Income		0

Current Asset Allocation

Equities: 77.3% Fixed Income: 21.9% Cash: 0.8% Other: —

* Large Cap: 66.1%
 * Mid Cap: 13.3%
 * Small Cap: 13.5%
 * International: 7.1%

* Emerging Mkts: — * % of Equity —

Questionnaire completed by: B. B. B. Date: 12/2/02

Team Leader/Reg 9 Signer: _____ Date: _____

*Client Name = beneficiary (irrevocable), donor (revocable), owner of assets held (IMA, IRA) on individual or multiple accounts. Please note all applicable account numbers.

*Client/Trust Name: *[Redacted]*Account Number: *[Redacted]*

108

ASSET ALLOCATION RISK PROFILE QUESTIONNAIRE

1. High Capital Growth. The client seeks a higher than average return that will protect the portfolio against erosion of inflation and the client is willing to accept greater investment risk to do so. 3
2. Low Current Income. It is not important to earn a high level of spendable income on the investments. 3
3. Long Time Horizon. The client has an investment time horizon that is greater than 20 years. (Over 20 years = "5"; three or less years = "1") 3
4. Tolerant of Short-Term Declines. The client is willing to tolerate a moderate decline in the value of the portfolio over the short-term to achieve higher returns over the long-term. 3
5. Minimal Need for Liquidity. The client has available sufficient other assets, or the nature of the trust is irrevocable, that conversion of a substantial portion of the portfolio to cash can be avoided. 3
6. Low Principal Stability. The client is comfortable with short-term swings in the investments in order to achieve a higher return than could be expected from a more stable asset mix. 3

TOTAL: 18

Range of Responses: 1 - 5

1 = Strongly Disagree; 5 = Strongly Agree

Asset Allocation Targets

Balanced Portfolio Objectives

Aggressive Growth

Growth

Moderate Growth

Balanced Growth & Income

Income

Aggressive Income

Specified Portfolio

All Equity

All Fixed Income

Risk

Whenever
cash is 5%
or more,
please note
and suggest
what we might
do.

Previous Review
Previous Score12-30-01
18

	Target Stock % (+/- 10%)
80	
70	
60	
50	
40	
30	
100	
0	

Current Asset Allocation

Total Market Value: \$ 1025,952. -Equities: 66.9% Fixed Income: 40.0% Cash: 6.9% Other: X* Large Cap: 68.7%Re do % ;
total

VA Comp

* Mid Cap: 10.0%Nat'l Service
Life Insurance* Small Cap: 10.5%

113.8%

* International: 10.8%

* Emerging Mkts: _____

Questionnaire completed by: _____ Date: _____

Team Leader/Reg 9 Signer: _____ Date: _____

*Client Name = beneficiary (irrevocable), donor (revocable), owner of assets held (IMA, IRA) on individual or multiple accounts. Please note all applicable account numbers.

*Client/Trust Name: **F/213 EPA**Account Number: **108****ASSET ALLOCATION RISK PROFILE QUESTIONNAIRE**

1. High Capital Growth. The client seeks a higher than average return that will protect the portfolio against erosion of inflation and the client is willing to accept greater investment risk to do so. **1**
2. Low Current Income. It is not important to earn a high level of spendable income on the investments. **1**
3. Long Time Horizon. The client has an investment time horizon that is greater than 20 years. (Over 20 years = "5"; three or less years = "1") **1**
4. Tolerant of Short-Term Declines. The client is willing to tolerate a moderate decline in the value of the portfolio over the short-term to achieve higher returns over the long-term. **1**
5. Mini trust avoi **B - D** The client has available sufficient other assets, or the nature of the portfolio to cash can be **1**
I've talked to Boston @ these 5, short-term swings in the investments from a more stable asset mix.
6. Lov ord **1** *Repeatedly. It doesn't seem to be a priority for them. Five are better than 13 to do.* **1**

TOTAL: 6

Date of Previous Review **12-31-01**
Previous Score **6****Asset Al**

	estionnaire Score	Target Stock % (+/- 10%)
Balance	28-30	80
Income	24-27	70
Aggressive Income	18-23	60
<u>Specified Portfolio</u>	14-17	50
All Equity	10-13	40
	6-9	30
		100
		0

\$ 1,000.**% Other:****STANDBY TRUST
ENVIRONMENTAL
AGREEMENT****Qu****Date:** _____**Te****Date:** _____

*Client Name = beneficiary (irrevocable), donor (revocable), owner of assets held (IMA, IRA) on individual or multiple accounts. Please note all applicable account numbers.

Client/Trust Name: [REDACTED] - Trust

Account Number: 1085 [REDACTED] 008

ASSET ALLOCATION RISK PROFILE QUESTIONNAIRE

1. High Capital Growth. The client seeks a higher than average return that will protect the portfolio against erosion of inflation and the client is willing to accept greater investment risk to do so. 3
2. Low Current Income. It is not important to earn a high level of spendable income on the investments. 3
3. Long Time Horizon. The client has an investment time horizon that is greater than 20 years. (Over 20 years = "5"; three or less years = "1") 3
4. Tolerant of Short-Term Declines. The client is willing to tolerate a moderate decline in the value of the portfolio over the short-term to achieve higher returns over the long-term. 3

or the nature of the
investments in the
asset mix.TOTAL: 18 6of Previous Review 11-10-01
Previous Score 18Target Stock % (+/- 10%)

Moderate Growth	18-23	80
Balanced Growth & Income	14-17	70
Income	10-13	60
Aggressive Income	6 - 9	50
<u>Specified Portfolio</u>		40
All Equity		30
All Fixed Income		100
		0

Current Asset Allocation

Total Market Value: \$ 194,321 -Equities: 94.5% Fixed Income: 5.5% Cash: 0 Other: 0

* Large Cap: _____

* Mid Cap: _____

* Small Cap: _____

* International: _____

* Emerging Mkts: _____

* % of Equity

Questionnaire completed by: _____ Date: _____

Team Leader/Reg 9 Signer: _____ Date: _____

*Client Name = beneficiary (irrevocable), donor (revocable), owner of assets held (IMA, IRA) on individual or multiple accounts. Please note all applicable account numbers.

*Client/Trust Name: M. [REDACTED] - LMA Account Number: 1085 [REDACTED] 000

ASSET ALLOCATION RISK PROFILE QUESTIONNAIRE

1. **High Capital Growth.** The client seeks a higher than average return that will protect the principal and the client is willing to accept greater investment risk to do so. **Score inconsistent**
2. **Long-term Income.** The client is willing to earn a high level of spendable income on the investment over a long time period. **Score "2"**
3. **Long-term Maximum Income.** The client has an investment time horizon that is greater than 20 years. **Score "1"**
4. **Tolerant of Short-term Declines.** The client is willing to tolerate a moderate decline in the value of the portfolio over the short-term to achieve higher returns over the long-term.
5. **Minimal Need for Liquidity.** The client has available sufficient other assets, or the nature of the trust is irrevocable, that conversion of a substantial portion of the portfolio to cash can be avoided.
6. **Low-Principal Stability.** The client is comfortable with short-term swings in the investments in order to achieve a higher return than could be expected from a more stable asset mix.

Range of Responses: 1-5

1 = Strongly Disagree; 5 = Strongly Agree

TOTAL:

Date of Previous Review

12-30-01

Asset Allocation Targets

<u>Balanced Portfolio Objectives</u>	<u>Risk Questionnaire Score</u>	<u>Target Stock % (+/- 10%)</u>
Aggressive Growth	28-30	80
Growth	24-27	70
Moderate Growth	18-23	60
Balanced Growth & Income	14-17	50
Income	10-13	40
Aggressive Income	6 - 9	30
<u>Specified Portfolio</u>		
All Equity		100
All Fixed Income		0

Current Asset Allocation

Total Market Value: \$ 5,430.82. -

Equities: **Fixed Income:** **Cash:** **Other:**

* Large Cap:

*** Mid Cap:**

* Small Cap:

* International:

* Emerging Mkts:

* % of Equity

Questionnaire completed by: Dan

Date: 12/2/02

Team Leader/Reg 9 Signer: _____ Date: _____

Date: _____

*Client Name = beneficiary (irrevocable), donor (revocable), owner of assets held (IMA, IRA) on individual or multiple accounts. Please note all applicable account numbers.

*Client/Trust Name:

4/10 F/FTB, Jr Account Number: 1083

ASSET ALLOCATION RISK PROFILE QUESTIONNAIRE

1. High Capital Growth. The client seeks a higher than average return that will protect the portfolio against erosion of inflation and the client is willing to accept greater investment risk to do so.

2. Low Current Income. It is not important to earn a high level of spendable income on the investments.

3. Long Time Horizon. The client has (Over 20 years = "5"; three or less years = "1") A 50/50 Allocation should be greater than 20 years.

4. Tolerant of Short-Term Declines. The value of the portfolio over the short-term should not decline in the long-term.

5. Minimal Need for Liquidity. The client's trust is irrevocable, that conversion of the portfolio to cash can be avoided.

6. Client is comfortable with short-term swings in the investments in than could be expected from a more stable asset mix.

Attached asset detail does not reflect trading program.

Strongly Agree

A 50/50 Allocation should be greater than 20 years.
Score 14-17

ST 3

X 2

4 3

4 3

X 2

4 3

TOTAL: 24 16

Date of Previous Review 12-30-01

Previous Score 21

Asset Allocation Targets**Balanced Portfolio Objectives**

Aggressive Growth
Growth
Moderate Growth
Balanced Growth & Income
Income
Aggressive Income
Specified Portfolio
All Equity
All Fixed Income

Risk Questionnaire Score

28-30
24-27
18-23
14-17
10-13
6-9

Target Stock % (+/- 10%)

80
70
60
50
40
30
100
0

Current Asset Allocation**Total Market Value:**

\$1,334,239. -

Equities: 48.0% Fixed Income: 52.0% Cash: Other:

* Large Cap: 64.2

* Mid Cap: 9.5

* Small Cap: 10.0

* International: 10.5

* Emerging Mkts: 6.8

* % of Equity

Questionnaire completed by: _____ Date: _____

Team Leader/Reg 9 Signer: _____ Date: _____

*Client Name = beneficiary (irrevocable), donor (revocable), owner of assets held (IMA, IRA) on individual or multiple accounts. Please note all applicable account numbers.

*Client/Trust Name: *Prof Sh*

Accou

Number: 1084

ASSET ALLOCATION RISK PROFILE QUESTIONNAIRE

1. High Capital Growth. The client seeks a higher than average return that will protect the portfolio against erosion of inflation and the client is willing to accept greater investment risk to do so. *8 4*
2. Low Current Income. It investments. *60% Stock; 18-23* of spendable income on the *4 3*
3. Long Time Horizon. The (Over 20 years = "5"; the *Score 18-23* ton that is greater than 20 years. *6 4*
4. Tolerant of Short-Term value of the portfolio over erate a moderate decline in the *5 4* returns over the long-term.
5. Minimal Need for Liquidity. The client has available sufficient other assets, or the nature of the trust is irrevocable, that conversion of a substantial portion of the portfolio to cash can be avoided. *4 3*
6. Low Principal Stability. The client is comfortable with short-term swings in the investments in order to achieve a higher return than could be expected from a more stable asset mix. *8 3*

TOTAL: *28*

Range of Responses: 1 - 5

1 = Strongly Disagree; 5 = Strongly Agree

Date of Previous Review *12-13-01*Previous Score *28***Asset Allocation Targets**

<u>Balanced Portfolio Objectives</u>	<u>Risk Questionnaire Score</u>	<u>Target Stock % (+/- 10%)</u>
Aggressive Growth	28-30	80
Growth	24-27	70
Moderate Growth	18-23	60
Balanced Growth & Income	14-17	50
Income	10-13	40
Aggressive Income	6-9	30
<u>Specified Portfolio</u>		
All Equity		100
All Fixed Income		0

Current Asset AllocationTotal Market Value: \$ _____Equities: 59% Fixed Income: 31% Cash: 10% Other: _____* Large Cap: 55.4* Mid Cap: 12.3* Small Cap: 12.3* International: 13.4* Emerging Mkts: 6.6

* % of Equity

per client request
for distributions
from plan

BB

Questionnaire completed by: _____ Date: _____

Team Leader/Reg 9 Signer: _____ Date: _____

*Client Name = beneficiary (irrevocable), donor (revocable), owner of assets held (IMA, IRA) on individual or multiple accounts. Please note all applicable account numbers.

*Client/Trust Name: ██████████ T/W/W F/ELMAccount Number: 1083ASSET ALLOCATION RISK PROFILE QUESTIONNAIRE

1. High Capital Growth. The client seeks a higher than average return that will protect the portfolio against erosion of inflation and the client is willing to accept greater investment risk to do so. 3
2. Low Current Income. It is important to earn a high level of spendable income on the investments. 3
3. Long (Over) When no Investment time horizon that is greater than 20 years. 4
Small, but I
"1"
4. Tolerant of value of Small, but I Let's discuss Why it is willing to tolerate a moderate decline in the achieve higher returns over the long-term. 4
5. Minimal Let's discuss Why the client has available sufficient other assets, or the nature of the trust is in such a way that conversion of a substantial portion of the portfolio to cash can be avoided. 3
6. Low Principal Stability. The client is comfortable with short-term swings in the investments in order to achieve a higher return than could be expected from a more stable asset mix. 4

TOTAL: 22

Range of Responses: 1 - 5

1 = Strongly Disagree; 5 = Strongly Agree

Date of Previous Review 11-10-01
Previous Score 22**Asset Allocation Targets**

<u>Balanced Portfolio Objectives</u>	<u>Risk Questionnaire Score</u>	<u>Target Stock % (+/- 10%)</u>
Aggressive Growth	28-30	80
Growth	24-27	70
Moderate Growth	18-23	60
Balanced Growth & Income	14-17	50
Income	10-13	40
Aggressive Income	6 - 9	30
Specified Portfolio		
All Equity		100
All Fixed Income		0

Current Asset AllocationEquities: 56.0 Fixed Income: 37.2 Cash: 7.8 Total Market Value: \$ 1621,656* Large Cap: 77.5* Mid Cap: 22.5* Small Cap: * International: * Emerging Mkts:

* % of Equity

Questionnaire completed by: BW RL Date: 12/2/02

Team Leader/Reg 9 Signer: _____ Date: _____

*Client Name = beneficiary (irrevocable), donor (revocable), owner of assets held (IMA, IRA) on individual or multiple accounts. Please note all applicable account numbers.

*Client/Trust Name: [REDACTED] Fdn / [REDACTED] Account Number: 1081 [REDACTED] *Core competency - understanding asset allocation & pension*

ASSET ALLOCATION RISK PROFILE QUESTIONNAIRE

1. High Capital Growth. The client seeks a higher than average return that will protect the portfolio against erosion of inflation and the client is willing to accept greater investment risk to

Coding "9" because of Balanced Fund

*Score of 6 inconsistent w/
balanced allocation*

3-2-3-3-2-3 = 16

Range of Responses: 1-5

1 = Strongly Disagree; 5 = Strongly Agree

Asset Allocation Targets

Balanced Portfolio Objectives

Aggressive Growth	28-30
Growth	24-27
Moderate Growth	18-23
Balanced Growth & Income	14-17
Income	10-13
Aggressive Income	6-9

Specified Portfolio

All Equity	100
All Fixed Income	0

Risk Questionnaire Score

28-30	80
24-27	70
18-23	60
14-17	50
10-13	40
6-9	30

Target Stock % (+/- 10%)

80
70
60
50
40
30

Date of Previous Review
Previous Score *N/A*

Current Asset Allocation

Total Market Value: \$ 101,261

Equities: 98.6

Fixed Income: _____

Cash: 1.4

Other: _____

*Mellon
Balanced
Fund*

* Large Cap:	<u>43.2</u>
* Mid Cap:	<u>5.5</u>
* Small Cap:	_____
* International:	<u>4.3</u>
* Emerging Mkts:	<u>1.9</u>

*45.0 in Bonds &
Money mkt.*

INITIAL

* % of Equity

Questionnaire completed by: Bill BL

Date: 11/10/03

Team Leader/Reg 9 Signer: _____

Date: _____

*Client Name = beneficiary (irrevocable), donor (revocable), owner of assets held (IMA, IRA) on individual or multiple accounts. Please note all applicable account numbers.